

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

SECURITIES AND EXCHANGE COMMISSION,	:	07 Civ. 8849 (PKC)
Plaintiff – Judgment Creditor,	:	
- against -	:	
COLONIAL INVESTMENT MANAGEMENT LLC,	:	
COLONIAL FUND LLC, and	:	
CARY G. BRODY,	:	
Defendants – Judgment Debtors.	:	ECF CASE
	:	

**CERTIFICATE OF SERVICE
OF INFORMATION SUBPOENAS
WITH RESTAINING NOTICES
AS TO CARY G. BRODY**

JOHN J. GRAUBARD declares pursuant to 28 U.S.C. § 1746:

1. I am an attorney employed by the United States Securities and Exchange Commission in the Division of Enforcement, New York Regional Office. I am a member of the bar of this Court. I am fully familiar with the facts set forth herein.
2. On July 20, 2010 I caused the following Information Subpoenas with Restraining Notices, Questions and Answers in Connection therewith, and as to JPMorgan Chase Bank, N.A., the notices required by New York Civil Practice Law and Rules § 5222-a, to be served as follows:

Entity Served	Method of Service	Docket No.
Colonial Capital Partners LLC 1270 Avenue of the Americas New York, New York 10020 (address shown on records of NY Secretary of State)	Certified mail, return receipt requested (7007 0710 0001 6949 8955)	75

Colonial Capital Partners LLC 1370 Avenue of the Americas, 20 th Floor New York, New York 10019- 4612 (address known to plaintiff)	Certified mail, return receipt requested (7007 0710 0001 6949 8917)	75
Colonial Fund LLC 1370 Avenue of the Americas, 20 th Floor New York, New York 10019- 4612 (address shown on records of NY Secretary of State and address known to plaintiff)	Certified mail, return receipt requested (7007 0710 0001 6949 8948)	76
Colonial Investment Management LLC 1370 Avenue of the Americas, 20 th Floor New York, New York 10019- 4612 (address shown on records of NY Secretary of State and address known to plaintiff)	Certified mail, return receipt requested (7004 2890 0004 8905 1559)	77
Colonial Special Situations Fund LLC c/o Mark Sheridan, Managing Director 1270 Avenue of the Americas New York, New York 10019 (address shown on records of NY Secretary of State)	Certified mail, return receipt requested (7007 0710 0001 6949 8924)	78
Colonial Special Situations Fund LLC 1370 Avenue of the Americas, 20 th Floor New York, New York 10019- 4612 (address known to plaintiff)	Certified mail, return receipt requested (7007 0710 0001 6949 8931)	78
Colonial Venture Fund XX LLC 1370 Avenue of the Americas, 20 th Floor New York, New York 10019- 4612 (address shown on records of NY Secretary of State and address known to plaintiff)	Certified mail, return receipt requested (7007 0710 0001 6949 8962)	79

Colonial Venture Fund XXX LLC c/o Henry Bregstein, Esq. Katten Muchin Rosenman LLC 575 Madison Avenue New York, New York 10022- 2511 (address shown on records of NY Secretary of State)	Certified mail, return receipt requested (7007 0710 0001 6949 8979)	80
Epirus Capital Management, LLC c/o Alan Brody 1370 Avenue of the Americas, 20 th Floor New York, New York 10019- 4612 (address shown on records of NY Secretary of State and address known to plaintiff)	Certified mail, return receipt requested (7007 0710 0001 6949 8894)	81
JPMorgan Chase Bank, N.A. One Chase Manhattan Plaza New York, New York 10081	Personal service by Leonard Schmidt, Paralegal Specialist, SEC. Service made at 2:50 p.m. on Rosa A. Laraque.	82
Knapp Road LLC Lorraine Slavin, Esq., Agent Day Pinney LLC One East Putnam Avenue Greenwich, Connecticut 06830 (address shown on records of NY Secretary of State)	Certified mail, return receipt requested (7007 0710 0001 6949 8870)	83
Merrill Lynch & Co., Inc. Four World Financial Center New York, New York 10080	Personal service by Leonard Schmidt, Paralegal Specialist, SEC. Service made at 3:10 p.m. on Jennie Lee.	84
Rock Salt II LLC c/o Henry Bregstein, Esq. Katten Muchin Rosenman LLC 575 Madison Avenue New York, New York 10022- 2511 (address shown on records of NY Secretary of State)	Certified mail, return receipt requested (7007 0710 0001 6949 8887)	85

3. On July 21, 2010, I filed these documents on the ECF system of this Court,

thereby making service on the following counsel of record:

Ira Lee Sorkin, Esq.
Dickstein Shapiro LLP
1633 Broadway
New York, NY 10019-6708
Counsel for Colonial Investment Management LLC and Cary G. Brody

Richard P. Swanson, Esq.
Arnold & Porter, LLP
399 Park Avenue
New York, New York 10022
Counsel for Intervenor Felicia Pierot Brody

4. On July 21, 2010, I further made service upon these counsel of record by sending them a copy of these documents by UPS to the above addresses.

5. On July 21, 2010, pursuant to New York Civil Practice Law and Rules § 5222(d), I sent a copy of these documents by first class mail, postage prepaid, to the defendant – judgment debtor Cary G. Brody at his last known residence, 143 Otter Rock Drive, Greenwich, Connecticut 06830.

I declare under penalty of perjury that the foregoing is true and correct. Executed at New York, New York, on July 21, 2010.

/s/
JOHN J. GRAUBARD